

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
REQUEST FOR FILING NATIONAL PATENT APPLICATION

Under 35 USC 111(a) and Rule 53(b)

PATENT APPLICATION

Harriet Commissioner of Patents  
Washington, D.C. 20231

WITH SIGNED DECLARATION

NONPROVISIONAL  
NON REISSUE  
NON PCT NAT PHASE

10921 U.S. PTO  
09/11/2000  
11/22/00

Herewith is the PATENT APPLICATION of  
Inventor(s): SEDDIGH et al.

Title CONFIGURABLE RULE-ENGINE FOR LAYER-7 AND  
TRAFFIC CHARACTERISTIC-BASED CLASSIFICATION

Atty. Dkt.: PM 270155 12470-RO  
M# Client Ref

including:

Date: November 22, 2000

1. Specification: 33 pages (only spec. and claims) 2. ☐ Specification in non-English language  
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 42 numbered claims  
4. ☒ Drawings: 7 sheet(s) ☐ informal; ☒ formal of size: ☒ A4 ☐ 11"  
5. ☐ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not  
complete corresponding item 5 or 6). (Prior M# SN )  
6. **AMEND the specification** please by inserting before the first line: -- This is a ☐ Continuation-in-Part  
☐ Divisional ☐ Continuation ☐ Substitute Application (MPEP 201.09) of:  
6(a) ☐ National Appln. No. / filed . (M# )  
6(b) ☐ International Appln. No. filed  
7. ☐ **AMEND the specification** by inserting before the first line: -- This application claims the benefit of U.S.  
Provisional Application No. 60/ , filed . --  
8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.  
9. ☐ Prior application is assigned to

by Assignment recorded Reel Frame

10. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in (country)  
11.

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	
(7)		(8)	
(9)		<input type="checkbox"/> See 3 <sup>rd</sup> page for additional priorities	

12. (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) filed on  
in U.S. Application No. /  
13. Small entity status ☐ is **not** claimed; ☐ is claimed (**Pre-filing confirmation required**)  
13(a). ☐ Attached: (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) **not essential** to make claim)  
13(b). ☐ See **NONPUBLICATION REQUEST** under Rule 213(a) attached (PAT-258)

14. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(4)	
(2)		(5)	
(3)		(6)	

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☒ Attached: Information Disclosure Statement Form PTO-1449, one reference.

17. ☒ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
18. Basic Filing Fee				\$710/\$355	\$710	101/201
19. Total Effective Claims	42	minus 20 =	*22	x \$18/\$9 =	+ 396	103/203
20. Independent Claims	3	minus 3 =	*0	x \$80/\$40 =	+ 0	102/202
*If answer is zero or less, enter "0"						
21. If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application)				+ \$270/\$135	+ 0	104/204
22. TOTAL FILING FEE ENCLOSED =					\$1106	
23. If "non-English" box 2 is X'd, add Rule 17(k) processing fee				+ \$130	+ 0	139
24. If "assignment" box 8 is X'd, add recording fee				+ \$40	+ 40	581
25. <input type="checkbox"/> Attached is a Petition/Fee under Rule No.				+ \$130	+ 0	122
26. TOTAL FEE ENCLOSED =					\$1146	

Our Deposit Account No. 03-3975

Our Order No. 61473 C# 270155 M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

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NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Nabil **SEDDIGH** *et al.* : (Pillsbury Docket No. 0270155)

Application No.: (Unassigned) : Group: (Unassigned)

Filed: November 22, 2000 : Examiner: (Unassigned)

Title: CONFIGURABLE RULE-ENGINE  
FOR LAYER-7 AND TRAFFIC  
CHARACTERISTIC-BASED  
CLASSIFICATION

\* \* \* \*

November 22, 2000

## PRELIMINARY AMENDMENT

Hon. Commissioner of  
Patents and Trademarks  
Washington, D. C. 20231

Sir:

Prior to an examination on the merits, please amend the above-identified Application as follows.

### IN THE DRAWINGS

A Drawing Change Authorization Request is filed concurrently herewith, requesting clarifying changes to FIGs. 2A, 2B.

### IN THE SPECIFICATION

Please amend the Specification, as follows.

Page 16, line 14, after “**210A-D**”, insert -- . --; change “and performs actions to classify the received packets into their proper class in response to the information provided

by flow manager mechanism 202.” to -- Each linked list is chained off an array entry with the packet number in a flow being used as the array index. Packets entering the system are first identified as belonging to a particular flow by the flow manager mechanism 202. --

### REMARKS

Entry and consideration of the above amendment is respectfully requested. An early and favorable action on the merits is earnestly solicited.

Respectfully submitted,

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**UNITED STATES PATENT APPLICATION**

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**&**

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**FOR**

**CONFIGURABLE RULE-ENGINE FOR LAYER-7  
AND TRAFFIC CHARACTERISTIC-BASED CLASSIFICATION**

*Prepared by:*

**PILLSBURY MADISON & SUTRO LLP  
INTELLECTUAL PROPERTY GROUP**

**DATED: Nov. 24, 2000**

002277-252760

## **CONFIGURABLE RULE-ENGINE FOR LAYER-7 AND TRAFFIC CHARACTERISTIC-BASED CLASSIFICATION**

### **BACKGROUND OF THE INVENTION**

#### **1. Field of the Invention**

This invention generally relates to the field of data communication systems. More particularly, the invention presents a configurable and extensible rule-engine capable of classifying and supporting packet traffic.

#### **2. Description of Related Art and General Background**

The unprecedented growth of the Internet has not only increased the amount of traffic that communication networks must support, it has also transformed the nature of network traffic. The Internet was once relegated to handling Internet Protocol (IP)-based transmissions in the form of Telnet, e-mail, and File Transfer Protocol (FTP) traffic originating from wired LAN/WAN networks. Since then, the Internet has evolved into a global information infrastructure capable of accommodating a wide variety of applications, such as World-Wide Web (WWW), Voice-over-IP (VoIP) and Audio/Video Playback, generated from a diverse set of media, including satellite, wireless, and optical platforms.

Presently, IP-based networks attempt to accommodate the traffic generated by such applications by providing a "best-effort" level of service. As such, all IP data packets must compete for available bandwidth, as well as processing capability and buffer space in the network routing devices. The use of IP-based applications with real-time/interactive requirements coupled with the relatively limited bandwidth capacity in access and wireless

networks precipitates the need to differentiate between the different traffic flows generated by these applications.

To this end, networks have incorporated classification mechanisms to differentiate among the various traffic flows flowing through the network. These mechanisms employ packet classification schemes to help identify which data packets receive the necessary treatment to ensure a best-effort level of service.

A common approach implemented by these classification mechanisms is to classify the traffic into a static set of coarse traffic classes based on certain application requirements. Based on these coarse traffic classes, network routing devices provide differentiated treatment.

Currently, some classification mechanisms perform packet classification based on Layer-4 (Transfer Control Protocol (TCP)/User Datagram Protocol (UDP)) Port Numbers. Although relatively simple to implement, such classification may be easily deceived by users manipulating port numbers to achieve higher levels of priority for applications. Moreover, the use of port numbers in applications, although well-known, are not mandatory, thereby compromising the efficacy of the Layer-4 classification schemes. In addition, many networks employ Internet Protocol Security (IPSec) techniques, which provide for the secure exchange of packets, but do so at the expense of encrypting information above Layer-3 (Network Layer), thus rendering Layer-4 classification futile.

Other classification mechanisms support packet classification based on Layer-7 (Application Layer) content. Such classification schemes exploit the payload information resident in the data packet to better identify the type of application associated with the traffic and overcomes the limitations of Layer-4 classification schemes noted above. However, Layer-7 classification schemes require a larger, more robust set of rules to

operate effectively and is still subject to the classification barriers imposed by IPSec techniques.

Recent efforts, as described in Chapman *et al.*, *Automatic Quality of Service in IP Networks*, PROC. CANADIAN CONF. ON BROADBAND RESEARCH, Ottawa, Canada (April 5 1997, pp. 184-189), have investigated the use of flow classification schemes, which classifies flows based on traffic characteristics. Dynamic flow classification schemes examine certain flow qualities, such as, for example, transmitted packet counts and inter-arrival times, to determine the class associated with the traffic flow. The set of rules associated with dynamic flow classification schemes are, therefore, proportional to the 10 number of classes in the classification scheme. As such, the rule set maintained by these schemes are smaller than the Layer-7 classification schemes. Moreover, because, dynamic flow classification schemes examine traffic flow behavior, such schemes may overcome the classification barriers imposed by IPSec techniques.

As noted above, conventional Layer-7 classification mechanisms employ a static 15 set of rules, which differentiate network traffic into coarse traffic classes. Typically, these rules are hard-coded into the classification mechanisms, thus precluding network administrators from readily extending, configuring, or modifying the rules. Such rules limit the recognition and classification of traffic generated by the wide variety of applications currently supported by networking devices.

20 Therefore, what is needed is a system and method that provides a greater flexibility in classifying network traffic.



## SUMMARY OF INVENTION

Systems and methods consistent with the principles of the present invention, as embodied and broadly described herein, include a data flow managing mechanism configured to identify, track, and manage a data flow and a rule set, which includes a plurality of rules for comparing information contained within the data flow to pre-specified values. The system further includes a configurable classification rule engine for classifying the data flow into one of a plurality of traffic classes based on results of the comparisons between the rules and the pre-specified values. The configurable classification rule engine is configured via a configuration file that specifies and allows for the modification and reconfiguration of the pre-specified values and information regarding the data flow, the rule set, and the traffic classes.

## BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1A depicts a functional block diagram of a classification rule engine system, constructed and operative in accordance with an embodiment of the present invention.

FIG. 1B depicts a data structure for a traffic monitoring mechanism, in accordance with an embodiment of the present invention.

FIG. 1C illustrates a functional state diagram for TCP-based traffic.

FIG. 1D illustrates a function state diagram for UDP-based traffic.

FIG. 1E depicts a data structure for a packet classification rule engine, constructed and operative in accordance with an embodiment of the present invention.

FIG. 2A depicts a functional block diagram of a classification rule engine system, constructed and operative in accordance with another embodiment of the present invention.

FIG. 2B depicts a data structure for a packet classification rule engine, constructed and operative in accordance with another embodiment of the present invention.

FIG. 3 illustrates a configuration file for a packet classification rule engine in accordance with an embodiment of the present invention.

## DETAILED DESCRIPTION OF THE INVENTION

The following detailed description refers to the accompanying drawings that illustrate embodiments of the present invention. Other embodiments are possible and modifications may be made to the embodiments without departing from the spirit and scope of the invention. Therefore, the following detailed description is not meant to limit the invention.

Rather the scope of the invention is defined by the appended claims.

The classification rule system, as described herein, is a configurable rule-based system capable of classifying network traffic based on application requirements. The system employs classification rules that are abstracted from the heuristics and are not hard-coded. In one embodiment, the classification system operates under a dynamic classification scheme, employing a traffic monitoring mechanism to monitor and measure certain traffic characteristics from a received data flow and compare those values to the rules invoked by the classification rule engine to designate the various classes. In another embodiment, the system operates under a Layer-7 classification scheme and examines predetermined packets containing certain application information to determine whether

certain patterns, indicative of different classes, match the content of the predetermined packets.

FIG. 1A is a functional block diagram depicting dynamic classification rule engine system **100**, constructed and operative in accordance with an embodiment of the present invention. System **100** classifies network traffic based on dynamic classification schemes. As indicated in FIG. 1A, system **100** comprises flow manager mechanism **102**, a traffic monitoring mechanism **106**, a packet classification rule engine **108**, configuration file **300**, and rule set **110**. As will be described below, traffic monitoring mechanism **106** and rule set **110**, as well as the actions taken by packet classification rule engine **108**, may be defined, initialized, and reconfigured with respect to particular traffic flows in configuration file **300**.

Flow manager mechanism **102** is configured to receive the incoming data packets, identify and track the traffic flows associated with the received packets, register active data flows, and delete inactive data flows. For dynamic classification schemes, flow manager mechanism **102** may identify the traffic flows based on Source IP Address (SIP), Destination IP Address (DIP), Source TCP/UDP Port Number (SP), Destination UDP/TCP Port Number (DP) and Protocol Id (PID). Flow manager mechanism **102** may include a flow table mechanism **104**, which captures the relevant packet information, provides a look-up mechanism to identify which traffic flow the receive packet belongs to, and updates the captured information accordingly. Such updates may include introducing new traffic flows or deleting stale traffic flows.

Traffic monitoring mechanism **106** is configured to measure various characteristics and parameters of each traffic flow and provides updates to the flow information resident in flow table mechanism **104**, whenever a received packet is associated with a particular

flow. Traffic monitoring mechanism **106** may comprise a plurality of individual monitors dedicated to measuring the various traffic flow characteristics and parameters. An exemplary sample of individual monitors are summarized in TABLE I.

TABLE I

TMName	TMType	TMDescription
CPLC	0	number of consecutive packets since last state change
CLP	1	number of consecutive long packets having a size $\geq$ LONG
CSP	2	number of consecutive short packets having a size $\leq$ SHORT
AVG_BW	3	average bandwidth measured over time interval T
PPS	4	average packets-per-second measured over time interval T
I_AVG	5	average packet inter-arrival time $I_{avg}$
PIGA	6	number of packets with inter-arrival time greater than $A = (I_{avg} + Y * (I_{avg}))$
PILB	7	number of packets with inter-arrival time less than $B = (I_{avg} - Y * (I_{avg}))$
PS	8	number of packets since start of the flow
DIFI	9	inter-arrival time between current packet and previous packet in flow
TLP	10	time of last packet in flow
PS_AVG	11	average packet size measured over time interval T
SCP	12	size of current packet (includes entire packet)
SCPL	13	size of IP payload for current packet

In one implementation, the values for indicating the size of a long and short packet (LONG, SHORT, respectively), as used in monitors CLP and CSP noted above, as well as time interval T are user-definable.

FIG. 1B depicts the data structure for maintaining an easily extensible set of monitors in traffic monitoring mechanism **106**. The traffic monitor data structure is chained off flow table **104**. Although in the illustrated embodiment, flow table **104** is depicted as a linked list, flow table **104** may utilize any data structure that maintains the traffic monitor data structure. As indicated in FIG. 1B, each flow entry **104A-J** of flow table **104** points to a traffic monitor data structure **106A-J** having identifiers "TRAFFICMONITORIndex" to identify the traffic monitors. In turn, traffic monitor data structure **106A-J** contains at least one entry for every type of traffic monitor supported.

Although each monitor type has its own corresponding data structure **106A1-J1**, all monitor types share a common set of fields. This common set of fields may be configured to include: "TMName," which identifies the monitor via an identifier string (see, TABLE I); "TMType," which identifies the monitor type (see, TABLE I); "TMValue," which provides the value of an observed parameter, as detected by corresponding monitor; and "SCRAPARRAY(.)," which provides a scrap area, the usage of which will vary depending on the requirements of the particular monitor.

Rule set **110** includes a plurality of rules designed to perform comparisons between traffic monitoring mechanism **106** and a configured or pre-specified value. As such, rule set **110** may include event indicia, indicating the triggering of a rule, condition indicia, representing a conditional or comparison statement, and action indicia, indicating the execution of an action based on the results of the comparison. Rule set **110** may employ comparison operators, such as, GREATER THAN, GREATER THAN OR EQUAL TO, EQUAL TO, LESS THAN OR EQUAL TO, and LESS THAN, for example, to effect the comparisons. Rule set **110** may also employ logical operators, such as, AND, OR, NAND, NOR, etc. to chain various rules together. As will be discussed below, rule set **110** may defined in accordance with rule data structures **158A, 158B, 168A, 168B**. Based on the results rendered by the application of the rule set **110** to the received traffic flow, packet classification rule engine **108** reacts to ensure that the received traffic is associated with the appropriate class.

Before describing packet classification rule engine **108**, it may be instructive to generally describe an example of a dynamic classification scheme for two types of traffic commonly found in IP-based networks, TCP and UDP traffic. As is well known, TCP is a connection-oriented protocol, which guarantees the delivery and sequential order of the

transmitted data. UDP is a connection-less protocol, offering little in the way of delivery guarantees, but provides a more direct means of sending and receiving data. Further, it is to be noted that the depicted dynamic classification schemes, and the rule sets used in effecting transitions between classes, are for illustrative purposes and other classification schemes and rule sets may be implemented without departing from the thrust of the present invention.

FIG. 1C depicts a classification state diagram **125** as well as the TCP rule set for the dynamic classification scheme applied to TCP traffic. Interactive Query Response (IQR) class **126** represents traffic comprising a small number packets that need to be transmitted with high priority and little delay due to the interactive nature of the application (e.g., voice over IP, WWW, e-commerce applications, etc.). Burst class **128** represents traffic comprising a medium number of packets that are transmitted in an infrequent and bursty manner. Bulk class **130** represents traffic comprising a large number packets that are capable of tolerating delays due to large volume transfers (e.g., File Transfer Protocol (FTP) traffic).

As indicated in FIG. 1C, the dynamic classification scheme defaults all new TCP flows to IQR class **126**. In accordance with rule **R<sub>0</sub>**, if no new TCP packet is detected by traffic monitoring mechanism **106** within one second, IQR class **126** transitions to itself. In accordance with rule **R<sub>1</sub>**, if traffic monitoring mechanism **106** detects at least two consecutive TCP packets having a size greater than or equal to LONG (e.g., 512 bytes), IQR class **126** transitions to Burst class **128**. Such a rule may be implemented in order to adequately track and classify consecutive long packets having an occasional short packet for separation. In accordance with rule **R<sub>2</sub>**, upon traffic monitoring mechanism **106** detecting ten consecutive TCP packets having a size greater than or equal to LONG, Burst

class **128** transitions to Bulk class **130**. Finally, In accordance with rule **R<sub>3</sub>**, if traffic monitoring mechanism **106** does not detect any TCP packets within one second, Bulk class **130** transitions back to IQR class **126**.

FIG. 1D depicts a classification state diagram **125** as well as the UDP rule set for the exemplary dynamic classification scheme applied to UDP traffic. Low Rate Real Time (LRT) class **126** represents traffic comprising a small number packets that need to be transmitted in real time. High Rate Real Time (HRT) class **128** represents traffic comprising a large number of packets that need to be transmitted in real time. Non-Real Time (NRT) class **130** represents traffic that does not require real time transfers.

As indicated in FIG. 1D, the dynamic classification scheme defaults all new UDP flows to LRT class **136**. In accordance with rule **R<sub>0</sub>**, if traffic monitoring mechanism **106** does not detect any packets for a certain interval of time (e.g., 1 sec.), LRT class **136** transitions to HRT class **140**. In accordance with rule **R<sub>1</sub>**, upon traffic monitoring mechanism **106** detecting a uni-modal inter-arrival time distribution (e.g., flowing video packets), HRT class **138** transitions to NRT class **140**. Finally, in accordance with rule **R<sub>2</sub>**, if traffic monitoring mechanism **106** detects transmissions of at least 25 UDP packets per second and available bandwidth of at least 50 Kbps, NRT class **140** transitions back to LRT class **136**.

FIG. 1E depicts a data structure **150** for packet classification rule engine **108**. Packet classification rule engine **108** performs actions to classify the received packets into their proper class in response to the information provided by flow manager mechanism **102** and traffic monitoring mechanism **106**. To this end, classification rule engine data structure **150** enables a user to specify a configurable number of classes, as well as transitions between those classes, based on a configurable set of rules and actions. For

purposes of illustration, data structure **150** depicted in FIG. 1E is based on the dynamic classification schemes **125**, **135** developed above for TCP and UDP traffic, respectively.

Classification rule engine data structure **150** may be configured to accommodate any type of IP-based traffic. In the illustrated embodiment, rule engine data structure **150**

contemplates the dynamic classification of TCP and UDP traffic by employing classification machines that relate to the two traffic types: a TCP classification machine data structure **152** and a UDP classification machine data structure **162**. Each classification machine data structure **152**, **162** may correspond to three or more classes.

For example, TCP classification machine data structure **152** may correspond to IQR class **126**, Burst class **128**, and Bulk class **130**. Similarly, UDP classification machine data structure **162** may contain LRT class **136**, HRT class **138**, and NRT class **140**. The invention is not limited in this respect, however, as more or less classes may be implemented.

As indicated in FIG. 1E, classification machine data structures **152**, **162** may share a common set of fields. This common set of fields may be configured to include: "ClassName," which identifies the type of traffic accommodated by the data structure and "ClassIndex," which identifies the index number associated with the data structure. Upon determining which classification machine **152**, **162** the packets belong to, classification rule engine data structure **150** may employ a pointing mechanism, such as, "CLASSPointer" to point to traffic class data structures **154**, **164** corresponding to the different classes of traffic.

Traffic class data structures **154**, **164** may share a common set of fields. This common set of fields may be configured to include: "ClassIndex," which identifies the number assigned to the class; "ClassName," which identifies the name of the class; and



“Num\_Transitions,” which identifies the number of transitions each class is capable of executing. As indicated in FIG. 1E, traffic class data structure **154** for TCP classification machine **152** includes ClassIndex = “0,” “1,” and “2” and ClassName = “IQR,” “Burst,” and “Bulk” corresponding to the respective three classes of TCP traffic noted above and

5 Num\_Transitions = “2,” “1,” “1” corresponding to the different transitions possible in each of the respective classes (see also, FIG. 1D).

Similarly, traffic class data structure **164** for UDP classification machine **162** includes ClassIndex = “0,” “1,” and “2” and ClassName = “LRT,” “HRT,” and “NRT” corresponding to the respective three classes of UDP traffic noted above and

10 Num\_Transitions = “1,” “1,” “1” corresponding to the different transitions possible in each of the respective classes (see also, FIG. 1D). In addition, traffic class data structures **154**, **164** may also include a pointing mechanism, such as, “TransitionPtr” to point to transition data structures **156A**, **156B**, **166**, corresponding to the different transitions possible for each class of traffic.

15 Transition data structures **156A**, **156B**, **166**, may share a common set of fields. This common set of fields may be configured to include: “TransitionIndex,” which identifies the transition executed by a particular class and “NextRulePtr,” which identifies the rule associated with the transition executed by the class. If a particular class is capable of executing two transitions (e.g., Num\_Transitions = 2), transition data structures **156A**,

20 **156B**, **166** may implement a pointing mechanism, such as, “NextTransitionPtr,” to point to and facilitate the second transition if the conditions for the first transition were not met (i.e., no rule match). If there is are no subsequent transitions, NextTransitionPtr points to a NULL state. For example, as indicated in FIG. 1E, the first of two transition possibilities of IQR class **126** (i.e., ClassIndex = 0 and ClassName = “IQR”), is denoted as

TransitionIndex = 0. As illustrated in FIG. 1C, this transition occurs if no TCP packets are received for 1 sec. (see, Rule **R<sub>1</sub>**). If the conditions of the rule associated with NextRulePtr of TransitionIndex = 0 are not satisfied (i.e., Rule **R<sub>1</sub>** is not matched), NextTransitionPtr points to the next transition, TransitionIndex = 1, which occurs if at least 2 consecutive long packets are received (see, Rule **R<sub>4</sub>**). If Rule **R<sub>4</sub>** is not matched, NextTransitionPtr points to the NULL state because no other transitions are supported.

As noted above, "NextRulePtr" identifies the rule precipitating the transition executed by the class. As indicated in FIG. 1E, the rules are defined in rule data structures **158A, 158B, 168A, 168B**. Rule data structures **158A, 158B, 168A, 168B** may share a common set of fields. This common set of fields may be configured to include: "MonitorTypeIndex," which identifies the type of traffic monitor used by the rule; "RuleType," which identifies the comparison operators used by the rule; "RuleValue," which represents the value the rule compares to the values observed by the traffic monitor; "YesMatchClassIndex," which identifies the class to be designated based on a rule match; "NextRuleConnect," which indicates the logical operator used to chain to another rule before transitioning classes; and "NextRulePtr," which identifies the next rule to be examined before transitioning classes.

By way of example, consider transition data structures **156A, 156B**. As indicated in FIG. 1E, transition data structure **156A** stems from IQR class **126** (i.e., ClassIndex = 0), which is capable of two transitions (i.e., Num\_Transitions = 2), due to compliance with Rules **R<sub>0</sub>** or **R<sub>1</sub>** (see, FIG. 1C). Because the rules (and transitions) are executed sequentially, transition data structure **156A** first points to corresponding rule data structure **158A**, which represents Rule **R<sub>0</sub>**. Rule data structure **158A** provides that the rule employs a DIFI monitor (i.e., MonitorTypeIndex = 9), which observes the inter-arrival time

between a current packet and a previous packet. Rule data structure **158A** further provides that the rule employs the comparison operator (i.e., RuleType) GREATER THAN, and the comparison value (i.e., RuleValue) 0, thereby indicating that the inter-arrival time observed by the DIFI monitor has to be greater than 1 predetermined time interval (e.g., 5  $\mu$ sec., msec., sec., etc.), in order for IQR class **126** to transition back to itself (i.e., YesMatchClassIndex = 0, see also, FIG. 1C).

If the rule manifested by rule data structure **158A** is not matched by the observed traffic, transition data structure **156A** then points, by virtue of NextTransitionPtr, to transition data structure **156B**, which points to rule data structure **158B** representing Rule **R<sub>1</sub>**. Rule data structure **158B** provides that the rule employs a CLP monitor (i.e., MonitorTypeIndex = 0), which observes the number of consecutive LONG packets. Rule data structure **158A** further provides that the rule employs the comparison operator (i.e., RuleType) GREATER THAN or EQUAL TO, and the comparison value (i.e., RuleValue) 2, thereby indicating that the number observed by the CLP monitor has to be greater than 15 or equal 2 packets in order to effect a transition to Burst class **128** (i.e., YesMatchClassIndex = 1, see also, FIG. 1C).

With respect to rule data structures **168A**, **168B**, FIG. 1E also demonstrates the capability of chaining of rules noted above. Transition data structure **166** stems from NRT class **140** (i.e., ClassIndex = 2), which is capable of a single transition (i.e., 20 Num\_Transitions = 1), due to compliance with Rule **R<sub>2</sub>** (see, FIG. 1D). Transition data structure **156A** points to corresponding rule data structure **168A**, which represents Rule **R<sub>2</sub>**. Rule data structure **168A** provides that the rule employs a PPS monitor (i.e., MonitorTypeIndex = 5), which calculates the average packets-per-second. Rule data structure **168A** further provides that the rule employs the comparison operator (i.e.,

RuleType) GREATER THAN, and the comparison value (i.e., RuleValue) 25, thereby indicating that the number observed by the PPS monitor must be greater than 25 packets in order to effect a transition to LRT class **136** (i.e., YesMatchClassIndex = 0, see also, FIG. 1D).

5           However, rule data structure **168A** also provides that there is an additional condition (or rule) that must be complied with before completely transitioning into LRT class **136**. Specifically, rule data structure **168A** includes the string, NextRuleConnect = AND, indicating that that rules or conditions manifested by rule data structure **168A** are to be chained to a subsequent rule or condition indicated by NextRulePtr. NextRulePtr points to  
10 rule data structure **168B**, which provides that the subsequent rule or condition employs a AVG\_BW monitor (i.e., MonitorTypeIndex = 4), which determines the average bandwidth. Rule data structure **168B** also provides that the rule employs the comparison operator (i.e., RuleType) GREATER THAN, and the comparison value (i.e., RuleValue) 50, thereby indicating that the bandwidth observed by the AVG\_BW monitor must be  
15 greater than 50 Kbps in order to completely match the transition rule and effect a transition to LRT class **136** (i.e., YesMatchClassIndex = 0, see also, FIG. 1D).

FIG. 2A is a functional block diagram depicting Layer-7 classification system **200**, constructed and operative in accordance with another embodiment of the present invention. System **200** classifies network traffic based on Layer-7 classification schemes.  
20 As indicated in FIG. 2A, system **200** comprises flow manager mechanism **202**, a packet classification rule engine **208**, a configuration file **300**, and rule set **210**. As will be described below, rule set **210**, as well as the actions taken by packet classification rule engine **208**, may be defined, initialized, and reconfigured with respect to particular traffic flows in configuration file **300**.

Much like the flow manager mechanism of system **100**, flow manager mechanism **202** is configured to receive the incoming data packets, identify and track the traffic flows associated with the received packets, as well as monitor the traffic flow statistics. Because Layer-7 classification schemes operate on packet payload information, only a few packets within a traffic flow need to be examined to correctly identify the class of traffic. As such, flow manager mechanism **202** may identify the traffic flows by examining a predetermined packet or packets per flow. Flow manager mechanism **202** may include a flow table mechanism **204**, which captures the relevant packet information, provides a look-up mechanism to identify which traffic flow the receive packet belongs to, and updates the captured information accordingly. Such updates may include introducing new traffic flows, deleting stale traffic flows, or including pointers to different flows.

FIG. 2B depicts a data structure **250** for Layer-7 packet classification rule engine **208**. Packet classification rule engine **208** is constructed as linked list of pattern match rules **210A-D** and performs actions to classify the received packets into their proper class in response to the information provided by flow manager mechanism **202**. As such, classification rule engine data structure **250** enables a user to specify a configurable number of classes, as well as transitions between those classes, based on a configurable set of rules and actions.

Classification rule engine data structure **250** may be configured to accommodate any type of IP-based traffic and, as noted above, because Layer-7 classification schemes operate on packet payload information, only a few packets within a traffic flow need to be examined. Accordingly, as indicated in FIG. 2B, after a flow of packets are received by flow manager mechanism **202**, classification rule engine **208** searches the set of rules

using a packet number as an index into the data structure. As such, the rules corresponding to a particular packet number are searched to determine a match.

In the illustrated embodiment, packet numbers (e.g., #i, #j) within flow A are used as an index. Designating packet numbers #i, #j as an index may be based on the knowledge that, under Layer-7 schemes, packet numbers #i, #j provide an indication as to the type of traffic in flow A. Such knowledge may be garnered from empirical data, heuristics, vendor specifications, or industry knowledge. Classification rule engine 208 then searches the set of rules 210A-D corresponding to packet numbers #i, #j to determine if there is a match between the information contained in the pointed-to packets and the rule values.

As noted above, Layer-7 classification rule engine 208 is constructed as linked list of pattern match rules 210A-D. Rules 210A-D are designed to perform comparisons between the flows configured or pre-specified value. Rules 210A-D may include event indicia, indicating the triggering of a rule, condition indicia, representing a conditional or comparison string, and action indicia, indicating the execution of an action based on the results of the comparison. Rules 210A-D may also employ comparison operators, such as, GREATER THAN, GREATER THAN OR EQUAL TO, EQUAL TO, LESS THAN OR EQUAL TO, and LESS THAN, for example, to effect the comparisons. Rules 210A-D may also employ logical operators, such as, AND, OR, NAND, NOR, etc. to chain various rules together.

As such, classification rule engine data structure 250 may employ pattern match rules 210A-D having a common set of fields. This common set of fields may be configured to include: "Offset," which specifies the number of bytes from the beginning of the pointed-to packets where traffic type information is located; "NumCharacters," which

indicates the number of characters, beginning at the specified Offset, that are to be examined and compared for pattern matching; "CLASSPattern," which identifies the pattern used to match the information contained in the pointed-to packet with a particular class; and "AppType," which identifies the particular class associated with the pointed-to packet.

Returning to FIG. 2B, with respect to packet #i, classification rule engine data structure 250 points to packet #i of flow A to seek traffic type information. Upon accessing packet #i, classification rule engine data structure 250 searches out all the relevant pattern matching rules for packet #i, which for this case are rules 210A-C.

Classification rule engine data structure 250 then sequentially applies the relevant pattern matching rules to determine a match. For example, classification rule engine data structure 250 applies rule 210A, which compares the x number of characters beginning at Offset a of packet #i with the pattern A. If the comparison with rule 210A does not consummate in a match, classification rule engine data structure 250 skips to rule 210C for subsequent comparisons. If any of the comparisons result in a match, classification rule engine data structure 250 designates the class of the traffic flow (e.g., AppType) based on the matched pattern (e.g., CLASSPattern). A flag (not shown) is then set in the Flow Table 204, indicating that the entire traffic flow (e.g., traffic flow A) is to be designated as traffic class AppType and future packets belonging to the traffic flow will not be examined. If no comparisons result in a match, classification rule engine data structure 250 maintains the traffic class the same and informs Flow Table 204 to continue examining the data structure in accordance with the next packet number that may have an indication as to the type of traffic in the flow.

Classification rule engine data structure **250** also provides for the chaining of rules to subsequent rules. The chaining of rules is contemplated because certain application identification may be based on heuristics, which may require pattern matching in two or more successive packets. When all the rules are traversed, there is only the pointed-to packet in hand. Thus, if a successful match causes the transition to a chained rule for a subsequent packet, classification rule engine data structure **250** stores a pointing mechanism to the chained rule in Flow Table **204**. All subsequent packets for that particular flow will no longer index off the packet-number. Instead, when the packet with the number corresponding to the transitioned chain rule arrives, classification rule engine data structure **250** will compare the information contained in the packet to determine a match. If a match exists, classification rule engine data structure **250** will either proceed to the next rule (if it exists) or an application type is determined. If the match is not successful, application type and class designation remain unchanged.

For example, in the case where there exists a match in rule **210A**, as indicated in the illustrated embodiment (i.e., the *x* number of characters beginning at Offset *a* of packet #*i* contain pattern **A**), classification rule engine data structure **250** proceeds to rule **210B** to determine if there is a subsequent match (i.e., do the *y* number of characters beginning at Offset *b* of packet #*j* contain pattern **B**). If there is a subsequent match, classification rule engine data structure **250** designates the traffic class as AppType = 1; otherwise, classification rule engine data structure **250** designates the traffic class as the default class.

In this embodiment, all traffic flows are assumed to be assigned a default classification when they are initially received. This default application is based on the Layer-4 port numbers. As such, even if the Layer-7 Classification does not yield any



conclusive results, Layer-7 packet classification rule engine 208 falls back on the results of the Layer-4 port numbers to classify the traffic flows.

FIG. 3 depicts a packet classification rule engine configuration file 300, constructed and operative in accordance with aspects of an embodiment of the present invention. Configuration file 300, provides an easily modifiable interface to the classification rule engine, which enables a user to develop a classification algorithm, translate that algorithm into the set of rules supported by the rule-engine and enter the rules in the form of a simple grammar into a file. The classification rule-engine on power-up will execute the classification algorithms. A benefit of such a configuration file and classification rule-engine is that modifying and upgrading classification algorithms is a matter of simply making changes to a text file rather than providing hardware or software upgrades.

As indicated in FIG. 3, configuration file 300 provides an example grammar through which the classification rule engine may be configured as part of a bandwidth management system. In illustrated embodiment, configuration file 300 specifies the network device physical ports that are enabled and the bandwidth associated with each port. There is also a policy setting that allows the user to select the classification result from either a static layer-7 classifier or a dynamic classifier. Both types of classifiers run in parallel and their results are combined to obtain a final class.

The user is also allowed to specify the number of distinct classes and their names. In addition the scheduler type is configurable along with the scheduler parameters such as queue weights etc. For the Layer-7 classifier, the classification engine uses a rule to identify an application and then maps that application to a particular class. Finally, the grammar contains rules for transitioning between classes for the dynamic classifier.

It will be apparent to one of ordinary skill in the art that the embodiments as described below may be implemented in many different embodiments of software, firmware, and hardware in the entities illustrated in the figures. The actual software code or specialized control hardware used to implement the present invention is not limiting of the present invention. Thus, the operation and behavior of the embodiments will be described without specific reference to the actual software code or specialized hardware components. The absence of such specific references is feasible because it is clearly understood that artisans of ordinary skill would be able to design software and control hardware to implement the embodiments of the present invention based on the description herein.

Moreover, the processes associated with the presented embodiments may be stored in any storage device, such as, for example, non-volatile memory, an optical disk, magnetic tape, or magnetic disk. Furthermore, the processes may be programmed when the system is manufactured or via a computer-readable medium at a later date. Such a medium may include any of the forms listed above with respect to storage devices and may further include, for example, a carrier wave modulated, or otherwise manipulated, to convey instructions that can be read, demodulated/decoded and executed by the system.

The foregoing description of the preferred embodiments is provided to enable any person skilled in the art to make or use the present invention. Various modifications to these embodiments are possible, and the generic principles presented herein may be applied to other embodiments as well. For example, the invention may be implemented in part or in whole as a hard-wired circuit, as a circuit configuration fabricated into an application-specific integrated circuit, or as a firmware program loaded into non-volatile storage or a software program loaded from or into a data storage medium as machine-

readable code, such code being instructions executable by an array of logic elements such as a microprocessor or other digital signal processing unit.

As such, the present invention is not intended to be limited to the embodiments shown above but rather is to be accorded the widest scope consistent with the principles

5 and novel features disclosed in any fashion herein.

## WHAT IS CLAIMED

1           1. A data flow classification system comprising:

2                   a data flow managing mechanism configured to identify, track, and manage  
3       said data flow;

4                   a rule set including a plurality of rules for comparing information contained  
5       in said data flow with pre-specified values;

6                   a configurable classification rule engine for classifying said data flow into  
7       one of a plurality of traffic classes based on results of said comparisons between said rules  
8       and said pre-specified values;

9                   a configuration file for configuring said classification rule engine and for  
10       specifying said pre-specified values and information regarding at least one of said data  
11       flow, said rule set, and said plurality of traffic classes,

12                   wherein said configuration file comprises a format that allows for the  
13       modification and reconfiguration of said classification rule engine, said data flow, said  
14       rule set, and said plurality of traffic classes.

1           2. The system of Claim 1, wherein said data flow managing mechanism includes a  
2       flow table mechanism configured to perform at least one of capturing said information  
3       contained in said data flow, mapping a packet to a data flow, identifying said data flow  
4       based on said captured information, registering active data flows, and deleting inactive  
5       data flows.

1           3. The system of Claim 2, wherein said plurality of rules comprise a data structure  
2       including,

event indicia for indicating the invocation of one of said rules,  
condition indicia for representing a comparison or condition between said  
one of said rules and said pre-specified values, and  
action indicia for indicating the execution of an action based on results of  
said comparison.

4. The system of Claim 3, wherein said action indicia includes information for at  
least one of designating said data flow as one of said traffic classes and chaining to  
another of said rules

5. The system of Claim 4, wherein said classification engine classifies said data  
flow into one of said traffic classes in accordance with a dynamic classification scheme.

6. The system of Claim 5, wherein said data flow managing mechanism identifies  
said data flow as a particular type of traffic.

7. The system of Claim 6, further comprising a traffic monitoring mechanism  
configured to monitor attributes of said data flow and to provide update information to  
said data flow managing mechanism.

8. The system of Claim 7, wherein said traffic monitoring mechanism comprises a  
plurality of traffic monitors, each of said traffic monitors being capable of monitoring and  
measuring at least one predetermined attribute of said data flow.

9. The system of Claim 8, wherein said traffic monitors comprise a data structure  
including,  
identifier indicia for identifying a type of traffic monitor, and

value indicia for indicating a value measured by said traffic monitor.

10. The system of Claim 9, wherein classification engine comprises a data structure including,

traffic type indicia indicating the traffic type of said data flow,

traffic class indicia representing the different classes of traffic corresponding to the traffic type,

transition indicia indicating transitions from one of said traffic classes to another of said traffic classes, and

rule indicia containing traffic monitor information, corresponding rule information, said predefined values, and transition class information,

wherein said classification engine compares said traffic monitor information to said rule and said predefined values to classify said data flow into a traffic class corresponding to said traffic type.

11. The system of Claim 4, wherein said classification engine classifies said data flow into one of said traffic classes in accordance with a Layer-7 classification scheme.

12. The system of Claim 11, wherein said classification engine selects a predetermined packet from said data flow containing application information.

13. The system of Claim 12, wherein said classification engine comprises a data structure including,

information location indicia indicating the location where said application information is contained within said predetermined packet,

5 character indicia defining the number of characters within said location  
6 indicia to be compared, and  
7 pattern indicia representing a pattern corresponding to a particular traffic  
8 class.

1 14. The system of Claim 13, wherein said classification engine compares  
2 said pattern indicia to said character indicia to classify said data flow into said traffic class.

1 15. A method of classifying a data flow, comprising:  
2 identifying, tracking, and managing said data flow by a data flow managing  
3 mechanism;  
4 comparing information contained in said data flow with a plurality of rules  
5 containing pre-specified values, said plurality of rules included in a rule set; and  
6 classifying, by a configurable classification rule engine, said data flow into  
7 one of a plurality of traffic classes based on results of said comparisons between said rules  
8 and said pre-specified values;  
9 wherein said classification rule engine is configured by a configuration file,  
10 said configuration file specifying said pre-specified values and information regarding at  
11 least one of said data flow, said rule set, and said plurality of traffic classes, and  
12 wherein said configuration file comprises a format that allows for the  
13 modification and reconfiguration of said classification rule engine, said data flow, said  
14 rule set, and said plurality of traffic classes.

1 16. The method of Claim 15, wherein said data flow managing mechanism  
2 includes a flow table mechanism configured to perform at least one of capturing said  
3 information contained in said data flow, mapping a packet to a data flow, identifying said

4 data flow based on said captured information, registering active data flows, and deleting  
5 inactive data flows.

1 17. The method of Claim 16, wherein said plurality of rules comprise a data  
2 structure including,  
3 event indicia for indicating the invocation of one of said rules,  
4 condition indicia for representing a comparison or condition between said  
5 one of said rules and said pre-specified values, and  
6 action indicia for indicating the execution of an action based on results of  
7 said comparison.

1 18. The method of Claim 17, wherein said action indicia includes information for  
2 at least one of designating said data flow as one of said traffic classes and chaining to  
3 another of said rules.

1 19. The method of Claim 18, wherein said classification engine classifies said data  
2 flow into one of said traffic classes in accordance with a dynamic classification scheme.

1 20. The method of Claim 19, wherein said data flow managing mechanism  
2 identifies said data flow as a particular type of traffic.

1 21. The method of Claim 20, further comprising a traffic monitoring mechanism  
2 configured to monitor attributes of said data flow and to provide update information to  
3 said data flow managing mechanism.



1           22. The method of Claim 21, wherein said traffic monitoring mechanism  
2 comprises a plurality of traffic monitors, each of said traffic monitors being capable of  
3 monitoring and measuring at least one predetermined attribute of said data flow.

1           23. The method of Claim 22, wherein said traffic monitors comprise a data  
2 structure including,

3                   identifier indicia for identifying a type of traffic monitor, and

4                   value indicia for indicating a value measured by said traffic monitor.

1           24. The method of Claim 23, wherein classification engine comprises a data  
2 structure including,

3                   traffic type indicia indicating the traffic type of said data flow,

4                   traffic class indicia representing the different classes of traffic  
5 corresponding to the traffic type,

6                   transition indicia indicating transitions from one of said traffic classes to  
7 another of said traffic classes, and

8                   rule indicia containing traffic monitor information, corresponding rule  
9 information, said predefined values, and transition class information,

10                wherein said classification engine compares said traffic monitor  
11 information to said rule and said predefined values to classify said data flow into a traffic  
12 class corresponding to said traffic type.

1           25. The method of Claim 18, wherein said classification engine classifies said data  
2 flow into one of said traffic classes in accordance with a Layer-7 classification scheme.

1           26. The method of Claim 25, wherein said classification engine selects a  
2 predetermined packet from said data flow containing application information.

1           27. The method of Claim 26, wherein said classification engine comprises a data  
2 structure including,

3                   information location indicia indicating the location where said application  
4 information is contained within said predetermined packet,

5                   character indicia defining the number of characters within said location  
6 indicia to be compared, and

7                   pattern indicia representing a pattern corresponding to a particular traffic  
8 class.

1           28. The method of Claim 27, wherein said classification engine compares said  
2 pattern indicia to said character indicia to classify said data flow into said traffic class.

1           29. A machine-readable medium encoded with a plurality of processor-executable  
2 instruction sequences for classifying a data flow, said instruction sequences comprising:

3                   identifying, tracking, and managing said data flow by a data flow managing  
4 mechanism;

5                   comparing information contained in said data flow with a plurality of rules  
6 containing pre-specified values, said plurality of rules included in a rule set; and

7                   classifying, by a configurable classification rule engine, said data flow into  
8 one of a plurality of traffic classes based on results of said comparisons between said rules  
9 and said pre-specified values;

10                wherein said classification rule engine is configured by a configuration file,  
11        said configuration file specifying said pre-specified values and information regarding at  
12        least one of said data flow, said rule set, and said plurality of traffic classes, and

13                wherein said configuration file comprises a format that allows for the  
14        modification and reconfiguration of said classification rule engine, said data flow, said  
15        rule set, and said plurality of traffic classes.

1                30. The machine-readable medium of Claim 29, wherein said data flow managing  
2        mechanism includes a flow table mechanism configured to perform at least one of  
3        capturing said information contained in said data flow, mapping a packet to a data flow,  
4        identifying said data flow based on said captured information, registering active data  
5        flows, and deleting inactive data flows.

1                31. The machine-readable medium of Claim 30, wherein said plurality of rules  
2        comprise a data structure including,

3                event indicia for indicating the invocation of one of said rules,  
4                condition indicia for representing a comparison or condition between said  
5        one of said rules and said pre-specified values, and

6                action indicia for indicating the execution of an action based on results of  
7        said comparison.

1                32. The machine-readable medium of Claim 31, wherein said action indicia  
2        includes information for at least one of designating said data flow as one of said traffic  
3        classes and chaining to another of said rules.

1           33. The machine-readable medium of Claim 32, wherein said classification engine  
2 classifies said data flow into one of said traffic classes in accordance with a dynamic  
3 classification scheme.

1           34. The machine-readable medium of Claim 33, wherein said data flow managing  
2 mechanism identifies said data flow as a particular type of traffic.

1           35. The machine-readable medium of Claim 34, further comprising a traffic  
2 monitoring mechanism configured to monitor attributes of said data flow and to provide  
3 update information to said data flow managing mechanism.

1           36. The machine-readable medium of Claim 35, wherein said traffic monitoring  
2 mechanism comprises a plurality of traffic monitors, each of said traffic monitors being  
3 capable of monitoring and measuring at least one predetermined attribute of said data  
4 flow.

1           37. The machine-readable medium of Claim 36, wherein said traffic monitors  
2 comprise a data structure including,  
3                    identifier indicia for identifying a type of traffic monitor, and  
4                    value indicia for indicating a value measured by said traffic monitor.

1           38. The machine-readable medium of Claim 37, wherein classification engine  
2 comprises a data structure including,  
3                    traffic type indicia indicating the traffic type of said data flow,  
4                    traffic class indicia representing the different classes of traffic  
5 corresponding to the traffic type,

6 transition indicia indicating transitions from one of said traffic classes to  
7 another of said traffic classes, and

8 rule indicia containing traffic monitor information, corresponding rule  
9 information, said predefined values, and transition class information,

10 wherein said classification engine compares said traffic monitor  
11 information to said rule and said predefined values to classify said data flow into a traffic  
12 class corresponding to said traffic type.

1 39. The machine-readable medium of Claim 32, wherein said classification engine  
2 classifies said data flow into one of said traffic classes in accordance with a Layer-7  
3 classification scheme.

1 40. The machine-readable medium of Claim 39, wherein said classification engine  
2 selects a predetermined packet from said data flow containing application information.

1 41. The machine-readable medium of Claim 40, wherein said classification engine  
2 comprises a data structure including,

3 information location indicia indicating the location where said application  
4 information is contained within said predetermined packet,

5 character indicia defining the number of characters within said location  
6 indicia to be compared, and

7 pattern indicia representing a pattern corresponding to a particular traffic  
8 class.

- 1           42. The machine-readable medium of Claim 41, wherein said classification engine
- 2 compares said pattern indicia to said character indicia to classify said data flow into said
- 3 traffic class.

## **CONFIGURABLE RULE-ENGINE FOR LAYER-7 AND TRAFFIC CHARACTERISTIC-BASED CLASSIFICATION**

### **ABSTRACT OF THE DISCLOSURE**

5

A system and method for data flow classification based on a configurable rule-engine, is presented herein. In accordance with an embodiment of the invention, the system includes a data flow managing mechanism configured to identify, track, and manage the data flows and a rule set, which includes a plurality of rules for comparing information contained within data flow with pre-specified values. The system also includes a configurable classification rule engine for classifying the data flows into one of a plurality of traffic classes based on results of the comparisons. The configurable classification rule engine is configured via a configuration file that specifies and allows for the modification and reconfiguration of the pre-specified values and information regarding the data flows, the rule set, and the traffic classes.

10

15

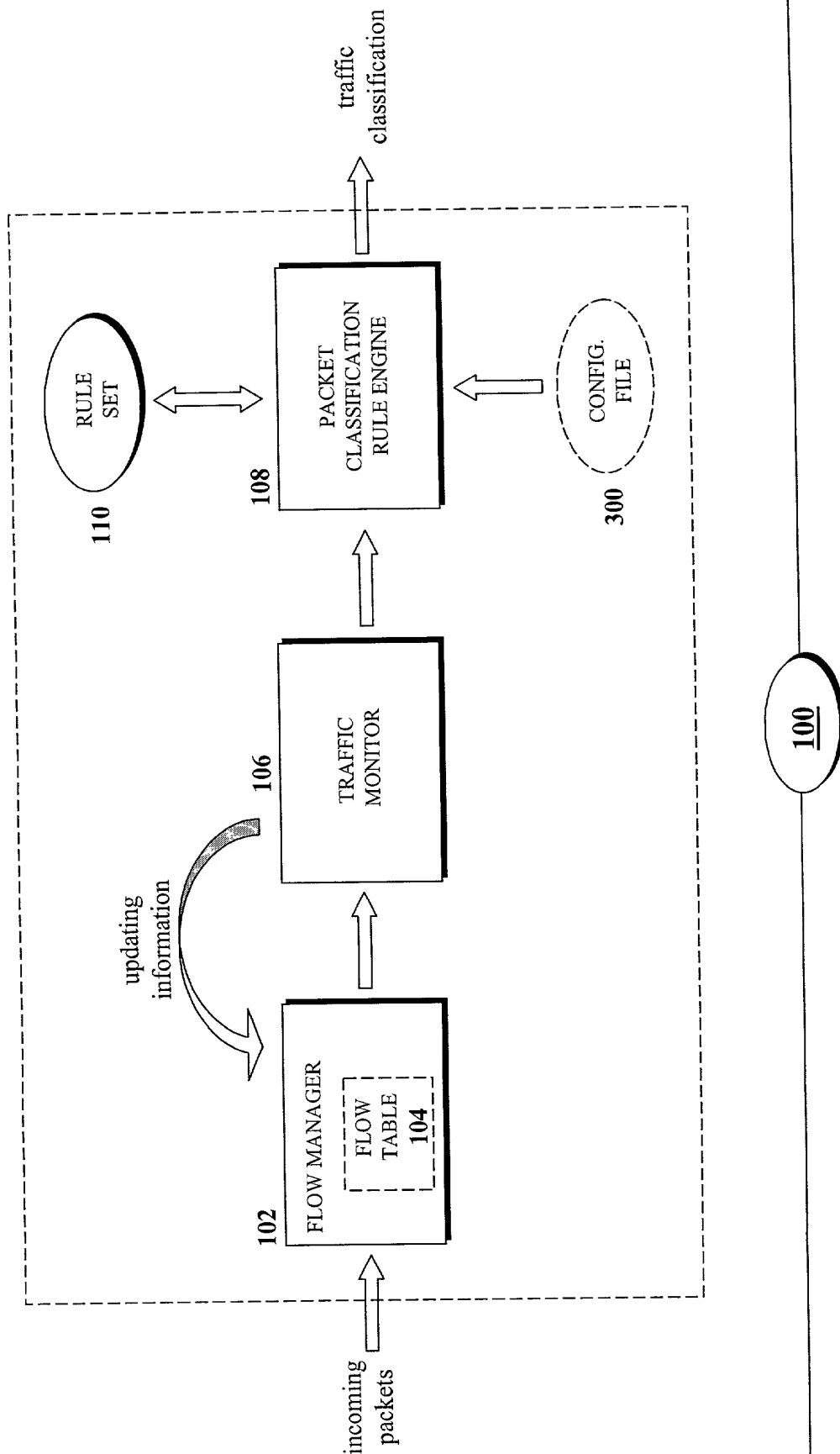


FIG. 1A



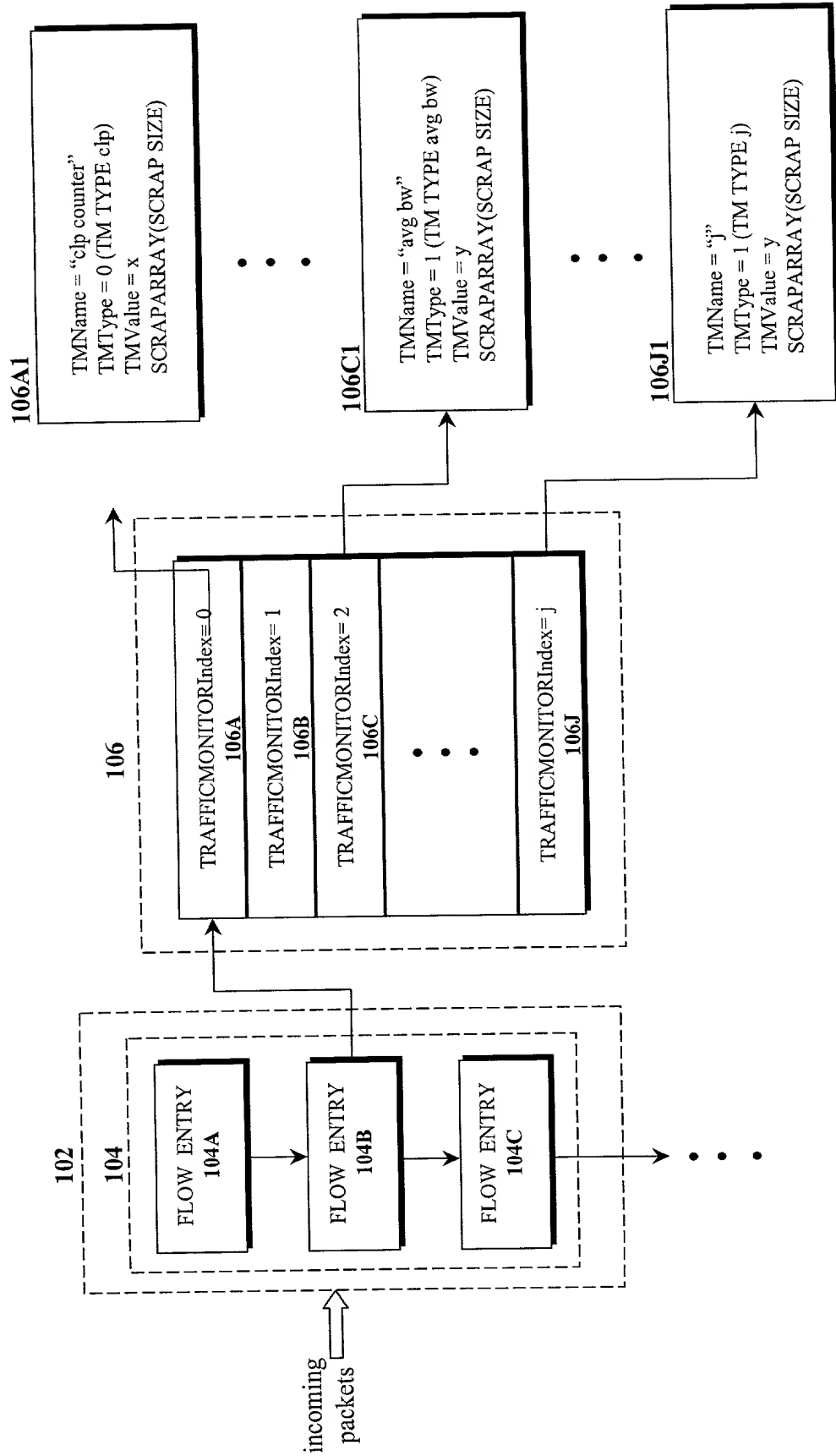


FIG. 1B



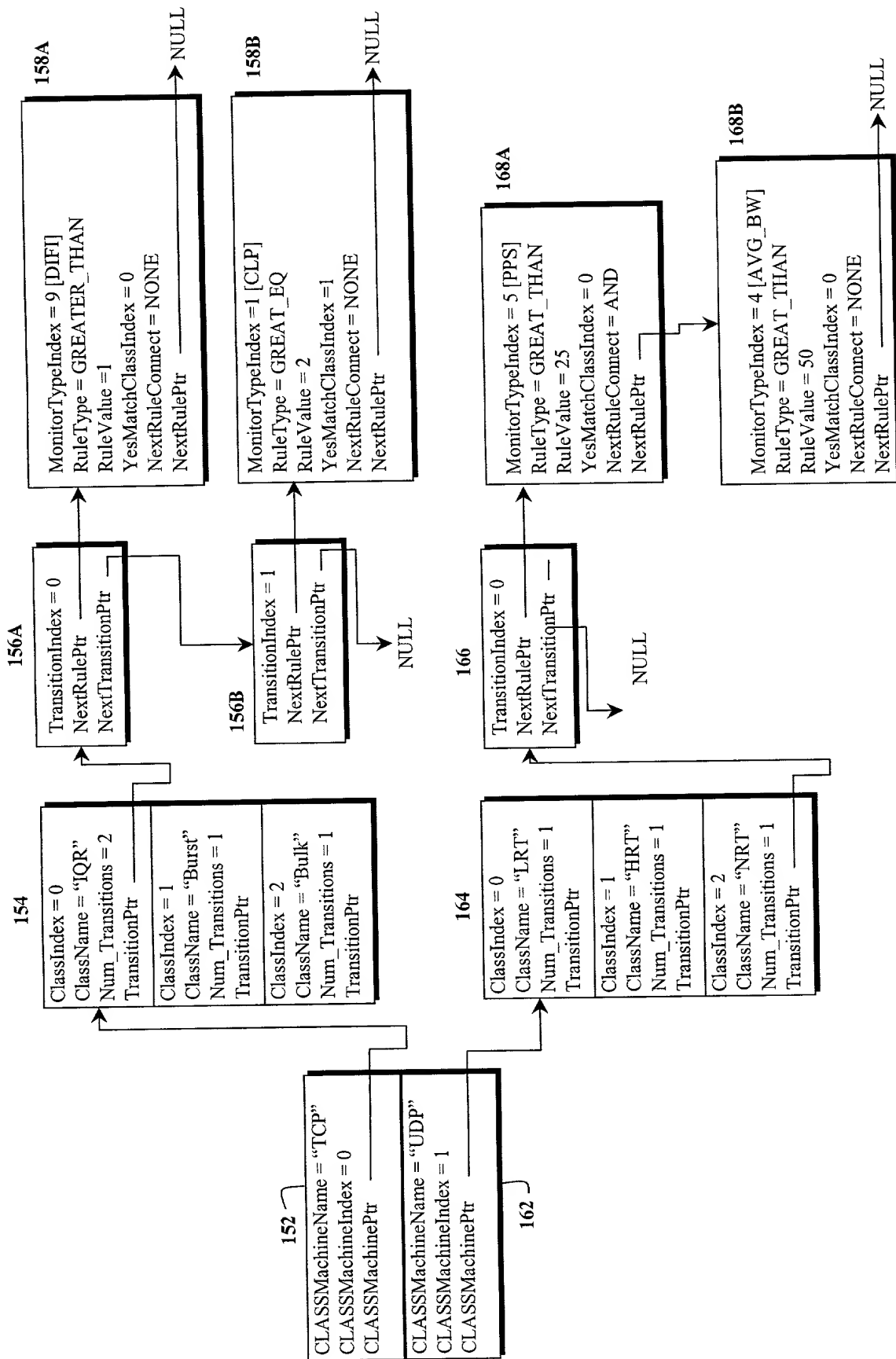


FIG. 1E

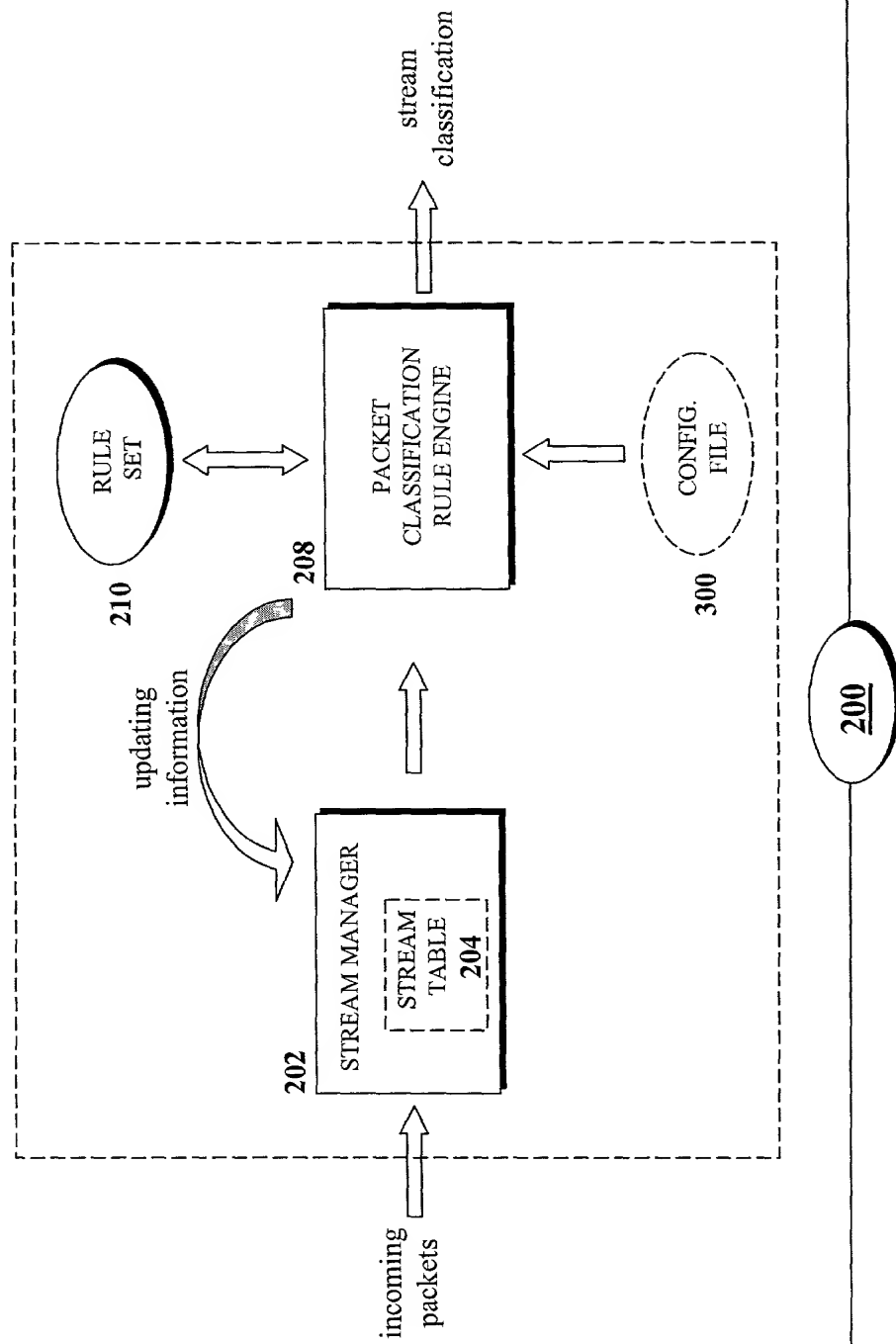


FIG. 2A

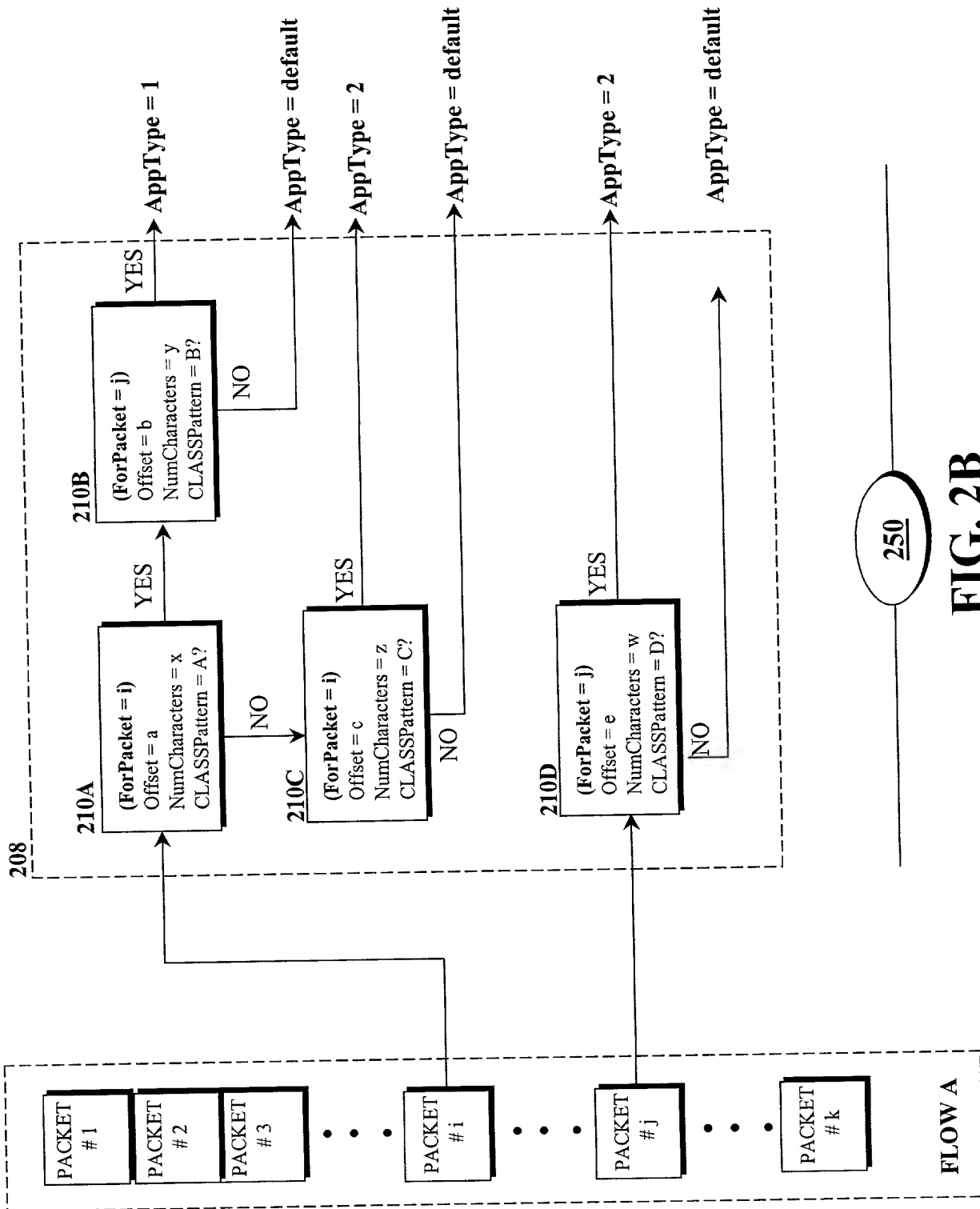


FIG. 2B

# CLASSIFICATION RULE ENGINE CONFIGURATION FILE

#Set the bps for port 1 to 10Mbps and port 2 to 5Mbps

bandwidth 1 10000000;  
bandwidth 2 5000000;

#Enable the static Layer-7 classifier by default; Can change to Dynamic Classifier by changing the setting to policy dynamic  
policy static;

# Define 2 classes of Traffic

class high;  
class low;

# These two queues use a bounded strict priority scheduler in which# the high priority queue can consume 70% of available bandwidth and# the low #priority queue can consume all remaining bandwidth. The# low priority queue is the default queue.

```
scheduler bsp {
    queue high 70;
    queue low 100 default;
}
```

# MBase Application: UDP, high priority class

application mbase 17 high;

# Search first 10 bytes of first packet for pattern

appRule mbase 1 pattern "mDlabASe" 0 10;

# Dynamic Classifier Rules – Transition from High to Low Priority Class

dynamicRule high low OR NOT belowThresh 85;

dynamicRule high low OR belowThresh 93;

# Dynamic Classifier Rules – Transition from Low to High Priority Class

dynamicRule low high OR belowThresh 85;

dynamicRule low high AND NOT belowThresh 93;

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Nabil **SEDDIGH** *et al.* : (Pillsbury Docket No. 0270155)

Application No.: (Unassigned) : Group: (Unassigned)

Filed: November 22, 2000 : Examiner: (Unassigned)

Title: CONFIGURABLE RULE-ENGINE  
FOR LAYER-7 AND TRAFFIC  
CHARACTERISTIC-BASED  
CLASSIFICATION

\* \* \* \*

November 22, 2000

## DRAWING CHANGE AUTHORIZATION REQUEST

Hon. Commissioner of  
Patents and Trademarks  
Washington, D. C. 20231

Sir:

Authorization is requested to chagne Figs. 2A and 2B as indicated in red on the  
attached sheet.

Respectfully submitted,

**PILLSBURY MADISON & SUTRO LLP**  
**INTELLECTUAL PROPERTY GROUP**

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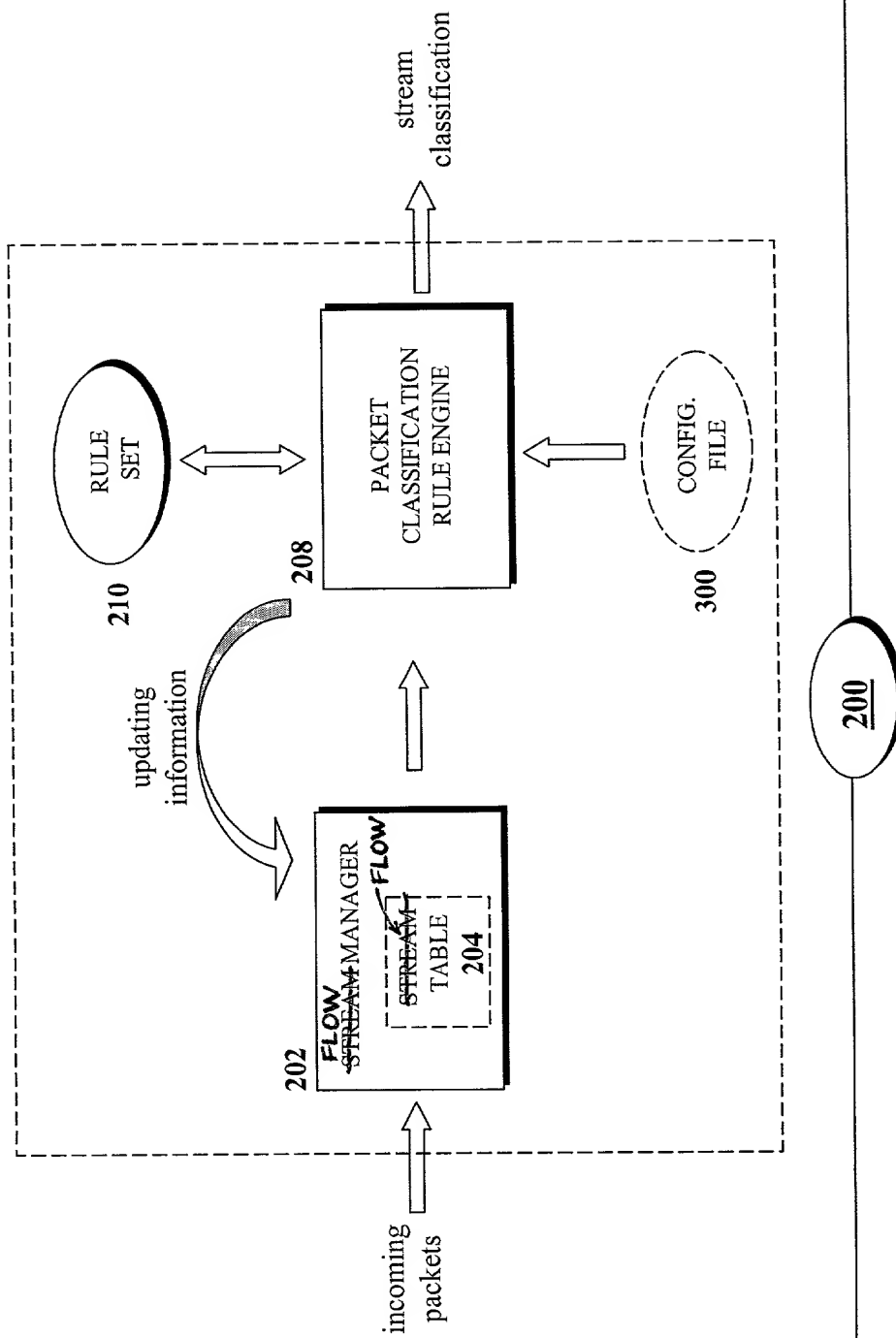


FIG. 2A



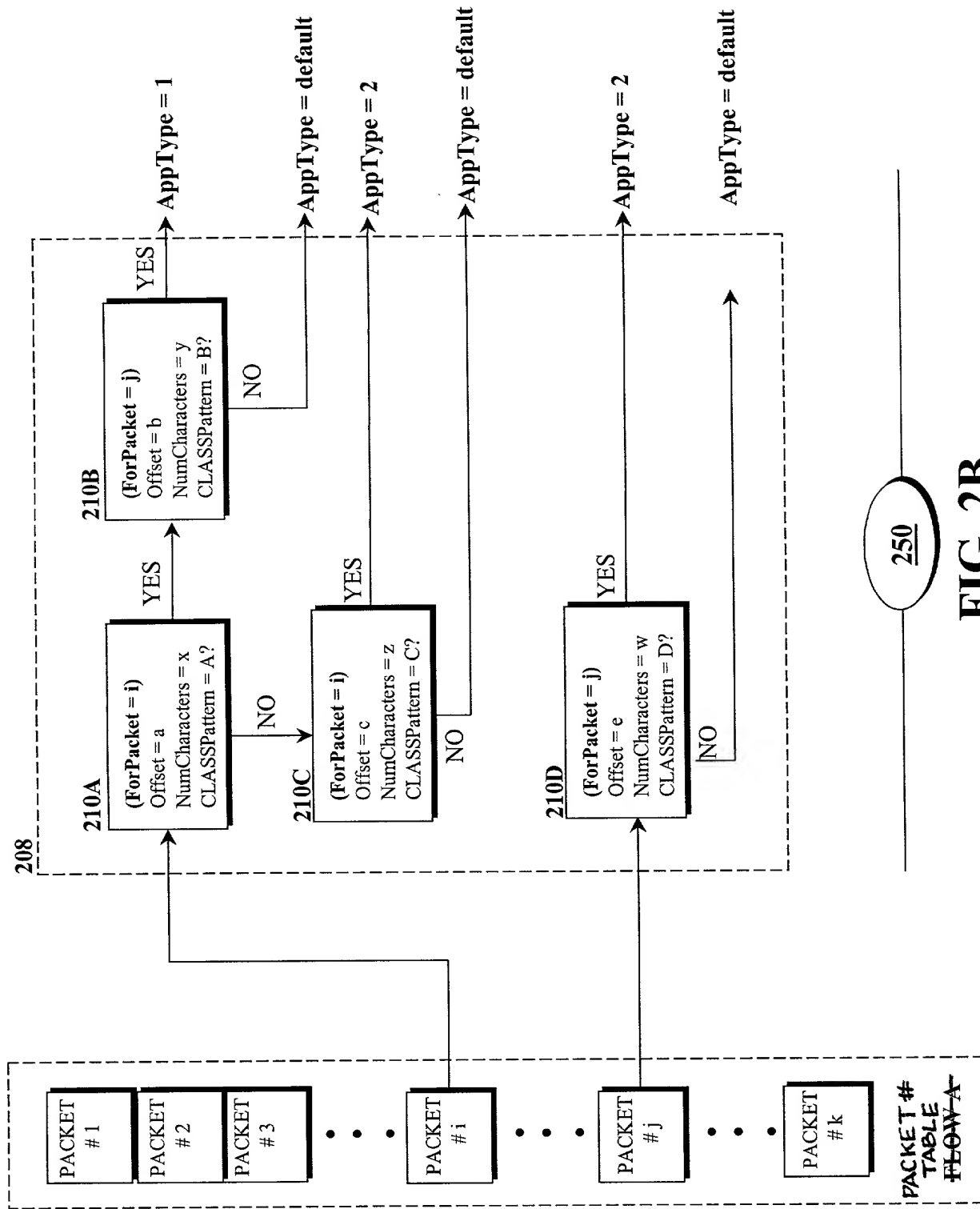


FIG. 2B

**CIP/PCT NATIONAL/PLANT  
ORIGINAL/SUBSTITUTE/SUPPLEMENTAL  
DECLARATIONS**

**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**FORM**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the INVENTION ENTITLED CONFIGURABLE RULE-ENGINE FOR LAYER-7 AND TRAFFIC CHARACTERISTIC-BASED CLASSIFICATION

the specification of which (CHECK applicable BOX(ES) )  
X A. ☒ is attached hereto.  
BOX(ES) → B. ☐ was filed on \_\_\_\_\_ as U.S. Application No. \_\_\_\_\_ /  
→ C. ☐ was filed as PCT International Application No. PCT/ \_\_\_\_\_ / \_\_\_\_\_ on \_\_\_\_\_

and (if applicable to U.S. or PCT application) was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose all information known to me to be material to patentability as defined in 37 C.F.R. 1.56. Except as noted below, I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International Application which designated at least one other country than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT International Application, filed by me or my assignee disclosing the subject matter claimed in this application and having a filing date (1) before that of the application on which priority is claimed, or (2) if no priority claimed, before the filing date of this application:

<u>PRIOR FOREIGN APPLICATION(S)</u>	<u>Date first Laid-</u>	<u>Date Patented</u>	<u>Priority NOT Claimed</u>
<u>Number</u>	<u>Country</u>	<u>open or Published</u>	<u>or Granted</u>

**If more prior foreign applications, X box at bottom and continue on attached page.**

Except as noted below, I hereby claim domestic priority benefit under 35 U.S.C. 119(e) or 120 and/or 365(c) of the indicated United States applications listed below and PCT international applications listed above or below and, if this is a continuation-in-part (CIP) application, insofar as the subject matter disclosed and claimed in this application is in addition to that disclosed in such prior applications, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which became available between the filing date of each such prior application and the national or PCT international filing date of this application:

<u>PRIOR U.S. PROVISIONAL, NONPROVISIONAL AND/OR PCT APPLICATION(S)</u>	<u>Status</u>	<u>Priority NOT Claimed</u>
<u>Application No. (series code/serial no.)</u>	<u>Day/MONTH/Year Filed</u>	<u>pending, abandoned, patented</u>

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint Pillsbury Madison & Sutro LLP, Intellectual Property Group, 1100 New York Avenue, N.W., Ninth Floor, East Tower, Washington, D.C. 20005-3918, telephone number (202) 861-3000 (to whom all communications are to be directed), and the below-named persons (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent, and I hereby authorize them to delete names/numbers below of persons no longer with their firm and to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/ organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct the above firm and/or a below attorney in writing to the contrary.

Paul N. Kokulis	16773	Paul E. White, Jr.	32011	Stephen C. Glazier	31361	Adam R. Hess	41835
Raymond F. Lippitt	17519	Glenn J. Perry	28458	Ruth N. Morduch	31044	William P. Atkins	38821
G. Lloyd Knight	17698	Kendrew H. Colton	30368	Richard H. Zaitlen	27248	Paul L. Sharer	36004
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Donald J. Bird	25323	Timothy J. Klima	34852	Michael R. Dzwonczyk	36787		
Peter W. Gowdey	25872	David A. Jakopin	32995	W. Patrick Bengtsson	32456		
Dale S. Lazar	28872	Mark G. Paulson	30793	Jack S. Barufka	37087		

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FOR ADDITIONAL INVENTORS, "X" box ☒ and proceed on the attached page to list each additional inventor.

☐ See additional foreign priorities on attached page (incorporated herein by reference).

Atty. Dkt. No. PM270155 (12470RO)  
(M#)

## DECLARATION AND POWER OF ATTORNEY

(continued)

## ADDITIONAL INVENTORS:

(3) INVENTOR'S SIGNATURE:

Date: Nov 1, 2000

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(7) INVENTOR'S SIGNATURE:

Date:

First	Middle Initial	Family Name
Residence		
City	State/Foreign Country	Country of Citizenship
Post Office Address		
(include Zip Code)		

(8) INVENTOR'S SIGNATURE:

Date:

First	Middle Initial	Family Name
Residence		
City	State/Foreign Country	Country of Citizenship
Post Office Address		
(include Zip Code)		

(9) INVENTOR'S SIGNATURE:

Date:

First	Middle Initial	Family Name
Residence		
City	State/Foreign Country	Country of Citizenship
Post Office Address		
(include Zip Code)		

Rule 56(a) & (b) = 37 C.F.R. 1.56(a) & (b)  
**PATENT AND TRADEMARK CASES - RULES OF PRACTICE**  
**DUTY OF DISCLOSURE**

- (a) ...Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the [Patent and Trademark] Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability... (b) information is material to patentability when it is not cumulative and (1) It also establishes by itself, or in combination with other information, a prima facie case of unpatentability of a claim or (2) refutes, or is inconsistent with, a position the applicant takes in: (i) Opposing an argument of unpatentability relied on by the Office, or (ii) Asserting an argument of patentability

**PATENT LAWS 35 U.S.C.**

**§102. Conditions for patentability; novelty and loss of right to patent**

A person shall be entitled to a patent unless--

- (a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for patent or
- (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of the application for patent in the United States, or
- (c) he has abandoned the invention, or
- (d) the invention was first patented or caused to be patented, or was the subject of an inventor's certificate, by the applicant or his legal representatives or assigns in a foreign country prior to the date of the application for patent in this country on an application for patent or inventor's certificate filed more than twelve months\* before the filing of the application in the United States, or
- (e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent, or
- (f) he did not himself invent the subject matter sought to be patented, or
- (g) before the applicant's invention thereof the invention was made in this country by another who had not abandoned, suppressed, or concealed it. In determining priority of invention there shall be considered not only the respective dates of conception and reduction to practice of the invention, but also the reasonable diligence of one who was first to conceive and last to reduce to practice, from a time prior to conception by the other.

**§103. Condition for patentability; non-obvious subject matter**

- (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made. . . .
- (c) Subject matter developed by another person, which qualified as prior art only under subsection (f) or (g) of section 102 of this title, shall not preclude patentability under this section where the subject matter and the claimed invention were, at the time the invention was made, owned by the same person or subject to an obligation of assignment to the same person.

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\* Six months for Design Applications (35 U.S.C. 172).